

Model notification letter for the cross-border marketing of AIFs under Article 32(2) of Directive 2011/61/EU and Article 31 of Regulation (EU) No 1286/2014

NOTIFICATION LETTER

NOTIFICATION OF INTENTION TO MARKET UNITS OR SHARES OF AN AIF OR AIFs OF THE SAME AIFM IN A MEMBER STATE OTHER THAN THE HOME MEMBER STATE OF THE AIFM IN ACCORDANCE WITH ARTICLE 32 OF DIRECTIVE 2011/61/EU ON ALTERNATIVE INVESTMENT FUND MANAGERS (the "AIFMD"), INCLUDING EUROPEAN LONG TERM INVESTMENT FUND ("ELTIF") IN ACCORDANCE WITH ARTICLE 31 OF REGULATION (EU) 2015/760 ON ELTIFs (the "ELTIF REGULATION").

IN _____
(the host Member State(s))

Are you notifying amendments to information already provided in an initial notification? Yes No

Information on the AIFM or self-managed AIF

Name of the AIFM/self-managed AIF: _____

AIFM/self-managed AIF LEI (if available): _____

National identification code of the AIFM/self-managed AIF (if available): _____

AIFM/self-managed AIF's home Member State:

Address and registered office/domicile if different from address

Details of AIFM/self-managed AIF's website:

Details of contact person at the AIFM/self-managed AIF

Name/Position: _____

Telephone _____ number:

E-mail address: _____

Details of the contact point (if a third party is appointed):

Name: _____

Legal form: _____

Registered office: _____

Name of the person to be contacted/Position: _____

Address for correspondence (if different): _____

Telephone _____ number:

Email address: _____

Contact point for the invoicing or for the communication of any applicable regulatory fee or charges (if different)¹:

Name/Position: _____

Address for correspondence (if different): _____

Telephone _____ number: _____

Email _____ address: _____

Duration of the AIFM/self-managed AIF, if applicable: _____

Scope of activities of the AIFM in the AIF host Member State:

Additional information about the AIFM/self-managed AIF (if necessary):

Facilities to retail investors (if relevant)

Pursuant to Article 31(1) of Directive 2011/61/EU, EU AIFMs are authorised to market units or shares of EU AIFs they manage to professional investors in other Member States than their home Member State. However, Member States may allow AIFMs to market to retail investors in their territory units or shares of AIFs they manage.

The below information must be filled in case marketing of the AIFs identified in the “information on the AIF section” below targets retail investors.

In accordance with point (j) of Annex IV of Directive 2011/61/EU, please fill-in the following table to provide information on the facilities to perform the tasks referred to in Article 42a(1) of this Directive:

Task of facility	Information on the facilities performing the tasks	Name/legal form/registered office/ address, e-mail and telephone number for correspondence of the person responsible to provide the facilities
Process investor's subscription, payment and redemption orders relating to the units or shares of the AIF		
Provide investors on how orders referred to above can be made and how repurchase and redemption proceeds are paid		
Facilitate the handling of information relating to the exercise		

¹ Please indicate a single contact point for the transmission of the invoice or for the communication of any applicable regulatory fee or charge referred to in Article 9 of Regulation (EU) 2019/1156 and in Article 2 of the Commission Implementing Regulation (EU) 2021/955

of investor's rights arising from their investment in the AIF		
Make the information and documents required pursuant to Articles 22 and 23 of Directive 2011/61/EU available to investors for the purposes of inspection and obtaining copies thereof		
Provide investors with information relevant to the tasks that the facilities perform in a durable medium as defined in point (m) of Article 2(1) of Directive 2009/65/EC		

Attachments

- (1) The latest version of the AIF rules or instruments of incorporation.
- (2) The latest version of the offering document (e.g. prospectus);
- (3) The AIF's latest annual report
- (4) Marketing documentation
- (5) Any additional information referred to in Article 23(1) of Directive 2011/61/EU for each AIF the AIFM intends to market (Paragraph (f) of Annex IV)
- (6) Other (please specify).

(Title of document or name of electronic file attachment)

PART B

The following information is provided in conformity with the national laws and regulations of the Member State where the AIFs are intended to be marketed.

AIFMs shall refer to the website of the competent authorities of each Member State for details of which items of information shall be provided in this section and for complete and up to date information on the national laws, regulations and administrative provisions governing marketing requirements. A list of relevant website addresses is available at www.esma.europa.eu

1. Arrangements made for marketing of units or shares of AIFs

Units or shares of the AIF/AIF compartments will be marketed by:

- the AIFM that manages the AIF
- any other AIFM authorised under Directive 2011/61/EE
- credit institutions
- authorised investment firms or advisers
- other bodies

(1) _____

(2) _____

(3) _____

2. Other information required by the competent authorities of the host Member State in accordance with Article 5(1) of Regulation (EU) 2019/1156

Include (if required by the host Member State where the AIF is intended to be marketed):

details of any additional information to be disclosed to unitholders or shareholders or their agents;

in case an AIF makes use of any exemptions from rules or requirements applicable in the Member State where it is intended to be managed in relation to marketing arrangements for the AIF, a specific share class or any category of investors, details of the use made of such exemptions;

If required by the host Member State where the AIF is intended to be marketed, evidence of payment due to the competent authorities of the host Member State:

Information on the AIF

Name of the AIF: _____

AIF home Member State: _____

Legal form of the AIF (please tick appropriate one box):

- common fund
 unit trust
 investment company

Does the AIF have compartments? Yes/No

Name of the AIF and/or compartment(s) to be marketed in the host Member State	LEI of the AIF or of the compartment (2)	Name of share class(es) to be marketed in the host Member State (1)	ISIN of the share class(es) to be marketed in the host Member State (1)	Name of the depositary of the AIF	Duration (2)	AIF national identification code	AIF's investment strategy (please specify the predominant AIF and the breakdown by investment strategies as set out in the reporting template included in Regulation 231/2013)

(1) If only certain share classes are intended to be marketed, only those classes should be listed

(2) If applicable

Master-feeder structures (if applicable):

Name of the master AIF or compartment(s)	AIFM of the master AIF/or compartment (if different)	Home Member State of the master AIF (if different)	Home Member State of the AIFM (if different)

Information on the arrangements established to prevent units or shares of the AIF from being marketed to retail investors, including in the case where the AIFM relies on activities of independent entities to provide investment services in respect of the AIF: